



**Mailing Address:**  
1 Baldwin Street  
Drawer 33  
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295  
Fax: (802) 828-2483

**STATE OF VERMONT**  
**JOINT FISCAL COMMITTEE**  
1 Baldwin Street  
Montpelier, Vermont 05633-5701

## MEMORANDUM

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**To:** James Reardon, Commissioner of Finance & Management

**From:** Rebecca Buck, Staff Associate *RB*

**Date:** January 5, 2007

**Subject:** Status of Grant Request

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No Joint Fiscal Committee member has requested that the following item be held for review:

**JFO #2277** – \$20,155 grant from the A.D. Henderson Foundation to the Department for Children and Families. These grant funds will be used to reimburse the Department for contractual research services provided to support the Prekindergarten Education Study Committee.

*[JFO received 11/28/06]*

In accordance with 32 V.S.A. §5, the requisite 30 days having elapsed since this item was submitted to the Joint Fiscal Committee, the Governor's approval may now be considered final. We ask that you inform the Secretary of Administration and your staff of this action.

cc: Linda Morse  
Cynthia LaWare  
Stephen Dale

**From:** "Jill Gould" <jillg@wpgate1.ahs.state.vt.us>  
**To:** <mbelliveau@leg.state.vt.us>, <OBIE@leg.state.vt.us>, <RBUCK@leg.state.v...>  
**Date:** 12/18/2006 4:38 PM  
**Subject:** Questions and observations from Rep. Michael Obuchowski re:JFO #2277  
**Attachments:** JFO\_2277\_response\_Dec06.doc

**CC:** <SKLEIN@leg.state.vt.us>  
Maria, Stephanie, and Representative Obuchowski,

Please see the attached response to these questions, I will be sending a hard copy along with the copy of the grant mentioned in the pink and regular mail tomorrow.

Please let me know if you have any further questions.

>>> "Rebecca Buck" <RBUCK@leg.state.vt.us> 12/05/06 03:26PM >>>  
Hi Jill--Representative Michael Obuchowski has the following questions with regard to JFO #2277 (\$20,155 grant from A.D. Henderson for prekindergarten education study):

- 1) Would like some background information on the A.D. Henderson Foundation.
- 2) Would like a chronology of what happened between October 23, 2006 (date grant approval letter was received by dept) and November 20, 2006 (date sent to Joint Fiscal Office).
- 3) In the August 21, 2006 grant request letter from Commissioner Dale to Karen Pfeiffer of A.D. Henderson on page 3 under the heading "The Program" there is a reference regarding utilization of two (2) national consultants--Stephen Barnett and Lisa Snell and also a reference to research being conducted by the University of Vermont. These "consultants" are also listed under the "Proposed Budget" on page 4 of this letter. Representative Obuchowski would like to see a copy of all three of the above noted contracts. He would also like additional information as it pertains to the bidding process on these contracts; specifically, how many other bids were submitted and what were their contract bid amounts? Why were other contracts rejected and these selected.

I have also been asked by Representative Obuchowski to relay the following general observations of concern and would welcome any feedback the department would like to provide to him:

- 1) While noting there are memo's included in the package acknowledging researcher and other contractual work has already been done prior to JFC acceptance of this grant, in Item 8 of the AA-1 Form (Purpose of Grant) there is a reference that the dept "intends" to hire an independent researcher.
- 2) The AA-1 Form in Item 10 (Budget Information) should also have reflected this grant amount of \$20,155 under the "Revenues" section.
- 3) There is a statutory approval process in place and there is a general overall concern that while there wasn't any request to "fast

track" this item the dept expended funds in anticipation of this grant.

Please cc me on your response to Rep. Obuchowski. Thanks. --Becky

**STATE of VERMONT**  
**AGENCY of HUMAN SERVICES**  
**DEPARTMENT for CHILDREN and FAMILIES**  
~ BUSINESS OFFICE ~

**MEMORANDUM**

Tel: (802) 241-2117

Fax: (802) 241-1106

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**TO:** Representative Michael Obuchowski  
Member, Joint Fiscal Committee

**THRU:** Steve Dale, Commissioner  
Department for Children and Families

**FROM:** Jill Gould, Asst. Fiscal Operations Manager  
Department for Children and Families

**DATE:** December 19, 2006

**SUBJECT:** Response to questions regarding JFO #2277

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Please accept this response to your 12/05/06 questions regarding JFO #2277 (\$20 155 grant from the A.D. Henderson Foundation to the Dept. for Children and Families):

- 1) Would like some background information on the A.D. Henderson Foundation.

The Website for this organization can be found at:

<http://www.hendersonfdn.org/>

The following information along with more details can be found on this web-page:

The A.D. Henderson Foundation was founded in 1959 by A.D. and Lucy E. Henderson, who made their home in Fort Lauderdale, Florida. Dedicated to improving the lives of children through education, the Henderson's also sought to meet the constantly changing needs of our society. Through the Foundation, they strove to improve the economic, social and physical well-being of their communities. The trustees of the A.D. Henderson Foundation are dedicated to carrying on the goals of the Foundation within the framework provided by its founders. The mission of this organization is to provide an opportunity for all children to succeed, with a special interest in

promoting literacy for children and families. We also seek to improve the efficiency and effectiveness of the nonprofit sector to serve the interests of our communities. The Foundation primarily limits its grant making to Broward and Marion Counties in Florida and the State of Vermont.

- 2) Would like a chronology of what happened between October 23, 2006 (date grant approval letter was received by dept) and November 20, 2006 (date sent to Joint Fiscal Office).

There were 20 State work days between receiving the grant award letter on the 23<sup>rd</sup> of October and the JFO received date of November 20, 2006. Most of the time lag is due to internal DCF preparation and approval and the remaining time due to AHS, and State administrative procedural review and approval. The Commissioner of DCF signed the completed AA-1 and forwarded it for AHS Secretary approval on 11/6/06. The AHS Deputy Secretary approved and forwarded the form to Finance and Management on 11/9/06. The agency of Administration reviewed and approved the request 11/15/06 and 11/17/06 and the Governor approved the request on 11/20/06.

- 3) In the August 21, 2006 grant request letter from Commissioner Dale to Karen Pfeiffer of A.D. Henderson on page 3 under the heading "The Program" there is a reference regarding utilization of two (2) national consultants--Stephen Barnett and Lisa Snell and also a reference to research being conducted by the University of Vermont. These "consultants" are also listed under the "Proposed Budget" on page 4 of this letter. Representative Obuchowski would like to see a copy of all three of the above noted contracts. He would also like additional information as it pertains to the bidding process on these contracts; specifically, how many other bids were submitted and what were their contract bid amounts? Why were other contracts rejected and these selected.

This project and the corresponding opportunity for funding were initiated in response to a need generated by the Pre-K education study committee created in Act 186. DCF and DOE acted as conduits to help find qualified resources and funding to help this committee meet tight timelines.

After this funding request letter was sent, neither of the mentioned consultants nor UVM could conduct the analysis and prepare a report in the timeframe required by the study committee. Through a recommendation from UVM and in cooperation and review with the State of Vermont Department of Education, Charles H. Mindel was selected to perform this work. A copy of the grant for this work is attached.

Responses to general observations and areas of concern:

- 4) While noting there are memo's included in the package acknowledging

researcher and other contractual work has already been done prior to JFC acceptance of this grant, in Item 8 of the AA-1 Form (Purpose of Grant) there is a reference that the dept "intends" to hire an independent researcher.

This wording was incorrect as the grant agreement with Mr. Mindel was already in effect.

- 5) The AA-1 Form in Item 10 (Budget Information) should also have reflected this grant amount of \$20,155 under the "Revenues" section.

Yes, the revenues section was not correctly filled out. This will be corrected by implementing a Business Office review procedure.

- 6) There is a statutory approval process in place and there is a general overall concern that while there wasn't any request to "fast track" this item the dept expended funds in anticipation of this grant.

Yes, due to the tight study committee deadlines, the grant agreement to expend funds was entered into before approval to accept the funding. In the event the JFO does not accept these grant funds, the cost of the grant agreement would be borne evenly between DCF and DOE out of available authorized program appropriations.

If you have any additional questions or are in need of further information, please feel free to give me a call. Thank you for your attention in this matter.

c: Sarah Clark, AHS  
Rebecca Buck, JFO  
Steve Klien, JFO  
Maria Belliveau, JFO

**From:** "Jill Gould" <jillg@wpgate1.ahs.state.vt.us>  
**To:** <RBUCK@leg.state.vt.us>  
**Date:** 12/13/2006 8:48 AM  
**Subject:** Questions and observations from Rep. Michael Obuchowskire:JFO#2277

**CC:** <SKLEIN@leg.state.vt.us>  
Will do..

>>> "Rebecca Buck" <RBUCK@leg.state.vt.us> 12/13/06 08:39AM >>>  
Jill--That's excellent and not a problem. Even tho I'll be away if you could still cc me on your response that would be great. That way I'll have something I can print off for the files and they grow ever larger by the day!! If you could also cc Steve Klein on your response he can follow thru with any additional issues that might arise next week on this item (with Obie). Thanks so much. --Becky

>>> "Jill Gould" <jillg@wpgate1.ahs.state.vt.us> 12/12/2006 6:03 PM  
>>>  
Thanks Becky,

I will get something out this week. I need to get it written and properly approved so you won't be around to see it...

Thanks for all your help and I hoep you have a wonderful holiday.. You will need it.. This next session is going to be killer!!

>>> "Rebecca Buck" <RBUCK@leg.state.vt.us> 12/12/06 08:56AM >>>  
Hi Jill--It's not a problem. Here is the home mailing address for Rep Obuchowski: 72 Atkinson Street, Bellows Falls, VT 05101-1321.

Also, just so you are prepared-- I'm leaving at the end of this week for the holiday season and won't be back in the office until after the new year--January 2!!

I'm figuring that even tho the "2 week request to hold date" is this Friday the 15th, by the time Obie gets the material and answers he'll want some time to read and think about it so it probably won't be until sometime mid-week next week before our office is in touch with him to seek if he's ok with the item to proceed. Don't worry too much about timing as we still have plenty of time before we bump up against the final approval date. (That's kind of why I give JFC 2 weeks to let me know if they have questions, etc. It allows us some time to try to things settled before we run into the 30 day approval date .

I will have the final approval all set to be pink mailed in my absence.

Not sure at this minute exactly who will be handling these end of the year things while I'm away, but I'll let you know when I find out.

I'll

also give them your e-mail address so they can e-mail your copy of the final approval memo. The final approval date for this item is

December  
28.

If you have questions or if I've totally confused you with the above long-winded explanation, don't hesitate to give me a call at 828-5969.

--Becky

>>> "Jill Gould" <jillg@wpgate1.ahs.state.vt.us> 12/11/2006 4:53 PM

>>>

Rebecca,

Sorry for my slow response. I am in receipt of this request and plan to have an answer prepared this week. I will email an explanatory memo followed by pink mailing the requested documentation.

My apologies if my delay has created any inconvenience on your part.

>>> "Rebecca Buck" <RBUCK@leg.state.vt.us> 12/05/06 03:26PM >>>

Hi Jill--Representative Michael Obuchowski has the following questions with regard to JFO #2277 (\$20,155 grant from A.D. Henderson for prekindergarten education study):

- 1) Would like some background information on the A.D. Henderson Foundation.
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feedback

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- 2) The AA-1 Form in Item 10 (Budget Information) should also have reflected this grant amount of \$20,155 under the "Revenues" section.
- 3) There is a statutory approval process in place and there is a general overall concern that while there wasn't any request to "fast track" this item the dept expended funds in anticipation of this grant.

Please cc me on your response to Rep. Obuchowski. Thanks. --Becky

**From:** Rebecca Buck  
**To:** jillg@wpgate1.ahs.state.vt.us  
**Date:** 12/5/2006 3:26 PM  
**Subject:** Questions and observations from Rep. Michael Obuchowski re: JFO #2277

**CC:** Klein, Steve; Obuchowski, Michael

Hi Jill--Representative Michael Obuchowski has the following questions with regard to JFO #2277 (\$20,155 grant from A.D. Henderson for prekindergarten education study):

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Please cc me on your response to Rep. Obuchowski. Thanks. --Becky



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**STATE OF VERMONT**  
**JOINT FISCAL COMMITTEE**  
1 Baldwin Street  
Montpelier, Vermont 05633-5701

## MEMORANDUM

**To:** Joint Fiscal Committee Members

**From:** Rebecca Buck, Staff Associate *RB*

**Date:** December 1, 2006

**Subject:** Grant Request

Enclosed please find one (1) request which the Joint Fiscal Office recently received from the Administration:

**JFO #2277** – \$20,155 grant from the A.D. Henderson Foundation to the Department for Children and Families. These grant funds will be used to reimburse the Department for contractual research services provided to support the Prekindergarten Education Study Committee.

*[JFO received 11/28/06]*

The Joint Fiscal Office has reviewed this submission and determined that all appropriate forms bearing the necessary approvals are in order.

In accordance with the procedures for processing such requests, we ask you to review the enclosed and notify the Joint Fiscal Office (Rebecca Buck at 802/828-5969; [rbuck@leg.state.vt.us](mailto:rbuck@leg.state.vt.us) or Stephen Klein at 802/828-5769; [sklein@leg.state.vt.us](mailto:sklein@leg.state.vt.us)) if you would like this item held for committee review. Unless we hear from you to the contrary by December 15 we will assume that you agree to consider as final the Governor's acceptance of this request.

cc: James Reardon, Commissioner  
Linda Morse, Administrative Assistant  
Cynthia LaWare, Secretary  
Stephen Dale, Commissioner

GRANT ACCEPTANCE FORM

JFO #  
2277

DATE: November 16, 2006

DEPARTMENT: AHS / Department for Children and Families

GRANT/DONATION (brief description and purpose): Act 186 of the 2006 Session created a prekindergarten education study committee. On or before January 30, 2007 the committee must report its conclusions to various legislative standing committees. This grant funds the research consultants supporting the study. The primary researcher evidently began work in mid-October when notice of the grant award was received.

GRANTOR/DONOR: A.D. Henderson Foundation

GRANT PERIOD: 10/15/06 – 1/30/07

AMOUNT/VALUE: \$20,155

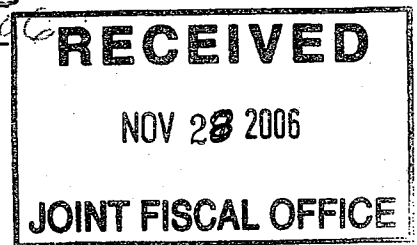
POSITIONS REQUESTED (LIMITED SERVICE): None

ANY ON-GOING, LONG-TERM COSTS TO THE STATE: This grant supports a legislative study committee that reports to various legislative committees on January 30, 2007.

COMMENTS:

DEPT. FINANCE AND MANAGEMENT:  
SECRETARY OF ADMINISTRATION:  
SENT TO JOINT FISCAL OFFICE:

(INITIAL) mf  
(INITIAL) mc  
(DATE) 11/20/06



GRANT REVIEW & RECOMMENDATION

Requesting Agency: AHS / Department for Children & Families

Granting Agency: A.D. Henderson Foundation

Grant Summary:

New or continuing program: New – One-time study

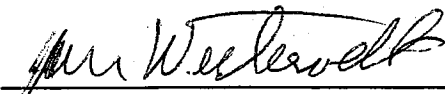
Title: A Study of Public Funding for Pre-K Education

Period: 10/15/06 – 1/30/07

Grant Amount: \$20,155

Brief description: Act 186 of the 2006 Session created a prekindergarten education study committee. On or before January 30, 2007 the committee must report its conclusions to various legislative standing committees. This grant funds the research consultants supporting the study. The primary researcher evidently began work in mid-October when notice of the grant award was received.

Recommendation: Approval by the Governor and submission to the Joint Fiscal Committee for its action.

  
\_\_\_\_\_  
Jan Westervelt, Budget Analyst

11-15-06  
\_\_\_\_\_  
Date

**STATE OF VERMONT  
REQUEST FOR GRANT ACCEPTANCE  
(use additional sheets as needed)**

**FORM AA-1  
(Rev. 9-90)**

1. Agency: Agency of Human Services
2. Department: Children and Families (DCF)
3. Program: Commissioner's Office
4. Legal Title of Grant: Study on Public funding for Pre-K Education
5. Federal Catalog No.:
6. Grantor and Office Address:  
A.D. Henderson Foundation  
P.O. Box 14096  
Fort Lauderdale, FL 33302-4096

7. Grant Period: From: To:

8. Purpose of Grant: (attach additional sheets if needed)  
The Department for Children and Families, in conjunction with the Vermont Department of Education, intends to hire an independent researcher to conduct a study of the current use of public funding for Pre-K education in Vermont as part of the Act 186 Legislative Committee. The funds are from a private foundation. There is no obligation of state general funds and no expectations that any additional funds will be received or needed. This is a one-time project.

9. Impact on Existing Programs if Grant is not Accepted:  
this will fund a study. While no funding will not negatively impact a program, it is needed

10. Budget Information: ATTACHED

	(1st State FY) FY 2006	(2nd State FY) FY 2007	(3rd State FY) FY 2008
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**EXPENDITURES: See attached**

Personal Services	\$ 17,100.00	\$	\$
Operating Expenses	\$	\$	\$
Grants	\$ 3,055.00	\$	\$
<b>TOTAL</b>	<b>\$ 20,155.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

**REVENUES:**

State Funds:

Cash	\$	\$	\$
In-Kind	\$	\$	\$

Federal Funds:

(Direct Costs)	\$	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$

Other Funds:

(source) Grant	\$	\$	\$
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<b>TOTAL</b>	<b>\$ 20,155.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>
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Appropriation Nos.

Amounts

\$  
\$  
\$  
\$

-over-

Form AA-1

Page 2

11. Will grant monies be spent by one or more personal service contracts?

YES  NO

If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

X [Signature]

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
TOTAL Positions	0

12b. Equipment and space for these positions:

Is presently available.  
 Can be obtained with available funds.

N/A

13. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.

\* See attached explanation

[Signature]

11/6/06

(Signature)

(Date)

Commissioner  
(Title)

14. Action by Governor:

Approved  
 Rejected

[Signature]

11/20/06

(Signature)

(Date)

15. Secretary of Administration:

Request to JFO  
 Information to JFO

[Signature]

11/17/06

(Signature)

(Date)

16. Action by Joint Fiscal Committee:

(Dates)

- Request to be placed on JFC agenda
- Approved (not placed on agenda in 30 days)
- Approved by JFC
- Rejected by JFC
- Approved by Legislature


(Signature)

(Date)



DEPARTMENT FOR CHILDREN AND FAMILIES

Commissioner's Office  
Phone - (802) 241-2100  
Fax - (802) 241-2980

Memo to: Governor Douglas, Secretary Smith and Joint Fiscal Committee

From: Steve Dale, Commissioner, DCF

NOV 14 2006

Date: November 6, 2006

Re: Grant acceptance

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I would like to ask for your support on accepting this grant. This grant was necessitated as a result of work done by the Pre-K Study committee formed through Act 186. Due to the time constraints on the work needed for this committee, an expedited response is requested.

Please do not hesitate to contact me if you have questions.

NOV 14 2006



TO WHOM IT MAY CONCERN:

Act 186 of the 2006 Legislative Session created a Pre-K study Committee which was charged with looking deeply into Pre-K Early Education. Part of the discovery process around this is a proposal to contract with a researcher to look in detail at 8 supervisory unions and 15 early childhood programs to understand how ADM is currently being used. The Henderson Foundation has provided a grant in the amount of \$20,155 to support this effort. They sent confirmation of the award in mid-October. The researcher began work about that same time. He is to complete his report and present it to the legislative committee around December 1. No money has been paid to him, but funds have been committed to him.

Given the very tight timeframes of this entire process—approval of the funds by Henderson and the due date for the document, this request is being made somewhat out of order. I apologize for the retroactive nature of this request. The alternative funding mechanism for this proposal would be split dollars between DCF and the Department of Education. This does not seem to be desirable.

  
\_\_\_\_\_  
Stephen R. Dale, Commissioner

11/6/06  
Date

*Approved for submission*  
*ST M Gold*  
*Acting Sec. AHS*  
*11/9/06*

Download this document in MS Word format

**ACT OF THE GENERAL ASSEMBLY**

**2005-2006**

**NO. 186. AN ACT RELATING TO EARLY CHILDHOOD EDUCATION.**

(S.314)

It is hereby enacted by the General Assembly of the State of Vermont:

**Sec. 1. PREKINDERGARTEN EDUCATION STUDY COMMITTEE**

(a) There is created a prekindergarten education study committee to be made up of three senators not all from the same political party chosen by the committee on committees, three representatives not all from the same political party chosen by the speaker, the commissioner of education, the commissioner of the department for children and families, and one representative of the business community appointed by the governor. The committee may meet up to six times, and in addition shall conduct one information gathering meeting prior to January 15, 2007. The committee shall conduct an additional final meeting prior to January 30, 2007 to share findings and answer questions. The committee shall receive per diem and expenses pursuant to 2 V.S.A. § 406 and 32 V.S.A. § 1010, and shall receive staff services from the legislative council, the joint fiscal office, the department of education, and the agency of human services.

(b) The committee shall, at a minimum, gather the following information:

(1) How many private and public or publicly funded prekindergarten education services currently exist in Vermont.

(2) What kinds of services and educational programs are offered by existing prekindergarten education programs.

(3) The costs of existing prekindergarten education programs and how they are funded.

(4) Current department of education and agency of human services standards for prekindergarten education facilities.

(c) The committee shall, at a minimum, study and make findings regarding:

(1) What the research says about the effects of prekindergarten education.

(2) Whether prekindergarten education services should be offered at public expense and, if so:

(A) whether services should be provided by public schools, private providers, or both;

(B) the estimated costs of providing public prekindergarten programs and what public monies should be used to support them;

(C) what would be the mechanism for dispersing these monies; and

(D) what state agency or agencies should have responsibility for developing standards regarding the quality and content of prekindergarten education programs and for determining educator qualifications, and whether standards for public schools should differ from those for private providers.

(3) Which groups of children benefit academically and socially from receiving prekindergarten educational services.

(4) Whether all groups of prekindergarten children benefit from an inclusionary educational environment.

(5) Whether enrollment in a prekindergarten education program should be voluntary.

(6) Whether participation may take place outside the district of residence.

(7) Whether a community should conduct a needs assessment before starting or expanding a program, and if so, how private providers and school districts should be involved in the assessment.

(8) Whether publicly funded early education services are an effective economic development strategy.

(d) On or before January 30, 2007, the committee shall present the information it has gathered, its findings, and its recommendations to the senate and house committees on education, the senate committee on health and welfare, and the house committee on human services.

## Sec. 2. INTERIM PROVISIONS

(a) In order to enable the legislative prekindergarten education study committee to accomplish its work and give the general assembly the time to consider and respond to the recommendations of the committee, the state board of education shall not change, repeal, or adopt any rules regarding provision of early childhood or prekindergarten education services prior to June 30, 2008.

(b) During the 2007–2008 school year, a school district which begins a new program of prekindergarten education shall contract with qualified early childhood education service providers in the school district unless it determines that it cannot efficiently and effectively provide quality services

using these providers, or that no qualified programs exist in the district or no private programs are interested in providing the services in collaboration with the school district. In determining efficiency and effectiveness, school districts shall emphasize affordability, access, and high quality in early learning experiences. The commissioner of education shall determine whether a school district has met the requirements of this subsection, and a decision of the commissioner shall be final.

Sec. 3. EFFECTIVE DATE

This act shall take effect July 1, 2006.

Approved: Became law without the Governor's signature

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Published by:

**The Vermont General Assembly  
115 State Street  
Montpelier, Vermont**



[www.leg.state.vt.us](http://www.leg.state.vt.us)

August 21, 2006

Karen Pfeiffer  
A.D.Henderson Foundation  
P.O. Box 14096  
Fort Lauderdale, FL 33302-4096

Dear Ms. Pfeiffer:

The Department for Children and Families, in conjunction with the Vermont Department of Education, is requesting a funding grant for one year in the amount of \$20,155 to support the analysis of how Vermont is currently utilizing funding from the Education Fund to support publicly funded pre-kindergarten programs and the impact such funding is having on program quality and access to services for pre-school age children. This research is being done under the auspices of the Act 186 Legislative Committee that has been charged with studying the early childhood system in Vermont and making specific recommendation to the 2007 Legislature on what types of pre-kindergarten services should be publicly funded, with what state resources and for what group or groups of children. The proposed research will provide the Act 186 committee, as well as the Departments of Education and Children and Families, with an in depth understanding of how public education or ADM funds are currently being utilized in early childhood programs and its impact. This information is not currently documented and is necessary in order for the Committee to make informed recommendations.

### **Background**

Vermont has a long history of developing and supporting strong early childhood services in Vermont and often receives national recognition for the overall strength of our early childhood system. To date, two state agencies, the Department of Education(DOE) and the Department for Children and Families(DCF), have had primary responsibility for ensuring an early childhood system of services in Vermont. The DOE has oversight responsibilities for early education services for 3 and 4 year old children who are considered at risk for or who have developmental delays through the Early Education Initiative (EEI) and the Essential Early Education (EEE) programs.

The DCF oversees all the rest of the early childhood developmental programs which include the regulated child care system which extends to all group care including pre-kindergarten programs operated by public schools, the child care subsidy program, the Parent Child Centers, Success by Six and early intervention services including the Healthy Babies, Kids and Families, Children's Upstream Services (early childhood mental health) and the Family Infant and Toddler programs. One of DCF's primary goals is to increase the number of high quality early childhood programs throughout Vermont in order to ensure access to services which meet the developmental needs of young children while also supporting the needs of the family.

The early childhood services in Vermont have evolved as a patchwork of services that are not really linked together as a system. This has resulted in significant differences in the array and quality of services available to children and families around the state. Funding from the DOE and DCF is currently being brought together by some programs at the community level in order to improve access and establish holistic services for children. Understanding how these services are currently funded, what models are working well and sharing this information with the Act 186 committee is one role the DOE and DCF will have as members of the ACT 186 committee. The Commissioners of DOE and DCF will also be active participants in the recommendations of the committee as they are the agencies who will have the responsibility for implementing any early childhood legislation enacted by the Legislature.

### **The Need**

Early education is a topic that has and is continuing to receive much attention nationally and in Vermont as states explore options for enhancing early childhood opportunities in order to support school readiness and to ensure sustained school success. Vermont has actively been involved in these discussions at the community and state levels for the past six years. Formal legislation related to the role of public education funding in the early childhood system was considered during the 2003-04 and 2005-06 legislative sessions. For a variety of reasons, including debate over which children are most likely to benefit from pre-kindergarten services, concerns about how to finance services and what the long term impact on property taxes will be if the current structure for accessing ADM funding remains in place and expands, and how to ensure the private early childhood sector are able to participate in an early childhood system which utilizes public education funding, comprehensive early childhood legislation which would define the use of public education funding was not passed

Act 186, passed by the Vermont Legislature in May of 2006, establishes a study committee to explore pre-kindergarten education in Vermont, specifically to address what services already exist in Vermont, what they cost and how they are currently funded, what groups of children benefit socially and academically from pre-kindergarten services, what model or models of services are most beneficial and what funding mechanisms should be established. The pre-kindergarten study committee is comprised of six legislators, three from the House and three from the Senate, the Commissioner of Education and the Commissioner for the Department of Children and Families and a Governor appointed representative from the business community. The committee held its first meeting on July 19, 2006. A review of how 6 programs in one supervisory union who currently use ADM funding demonstrated dramatic differences in how the funds were used, how contracts with private providers were developed and executed and the curriculum and teaching strategies utilized. Since there are currently no regulations which clearly define the requirements for utilization of the public education funds, there is wide leeway in how school districts implement these programs.

In order to fulfill their charge and adequately address the questions outlined in Act 186, the committee seeks utilize independent sources for some of the necessary research. This

includes bringing to the state nationally recognized consultants representing diverse positions on the benefits of early childhood education, conducting a new survey of all local school districts currently operating independently or with a community based provider a pre-kindergarten program and contracting with a Vermont researcher to conduct a targeted study of current pre-kindergarten education programs which will compare costs, funding mechanisms, and scope of the programs being offered, looking at both curriculum and staffing.

### **The Program**

We seek funding from the A.D. Henderson Foundation to help us fund portions of this effort, particularly bringing consultants into the state and funding the research study of specific programs. Two national consultants will be in Vermont in October to meet with the Committee and engage in a debate over efficacy of pre-kindergarten programs. The consultants are Stephen Barnett from the National Institute for Early Education Research (NIEER) and Lisa Snell of the Reason Foundation. The goal of this effort is to better inform the committee of the diverse perspectives on this topic, to have an open and frank discussion of the points or issues where there is not agreement and to begin to move toward areas where there are agreement to start to formulate potential recommendations. Part of this initial work will also include one of the two required public meetings which will be an opportunity for the committee to hear from the public their perspectives on the issue, which are also not uniform. The second public hearing will occur in January when the Committee presents its recommendations.

The Department of Education at the University of Vermont has been approached about conducting the research related to how public education funding is currently being used, costs associated with the programs and scope and quality of the curriculum, including staffing patterns. Because of the leeway in how these programs are currently being implemented, this information is critical and it is equally critical that it be done by a neutral party. Fifteen to twenty programs will be selected to be interviewed and observed. The researchers will develop the instrument and protocol for the data collection which will include a program and budget analysis. They will work with staff from the DOE and DCF to conduct the on sight observations and to analyze the data, develop the report and present the findings to the Committee. The timeline for completion of this work is mid - November in order for the Committee to have the findings and be able to integrate them into their recommendations.

### **Outcome**

The immediate outcome of this effort is to provide the committee the best available information about the issue of public school financing for early childhood education, and to provide the clearest information available on Vermont's current use of this funding mechanism. The long term outcome is to emerge from this work with recommendations for enhancing the opportunities for early childhood services for Vermont's young children that have bi-partisan support and are implemented in order to ensure our children

enter school ready to succeed and continue on a path of educational achievement through secondary school.

**Proposed Budget:**

Activity

1. National consultants on –site work  
\$1100 for airfare  
\$500 for lodging (2 nights)  
\$540 per diem for food, car rental and misc.( 2days)  
Total: \$2,140
  
2. Public hearings/meetings over VIT  
( 2 meetings/16 sites)  
Total: \$1,740
  
3. UVM Research  
Total: \$16,275 (25 days at \$650 a day)

Grand Total: \$20,155

The timeline set by the Act 186 legislation creates an urgency for this funding request as the Committee must finish its work and submit their recommendations by January 30,2007. Thank you so much for your consideration.

Sincerely yours,

Stephen R. Dale, Commissioner



*The A.D. Henderson Foundation, Inc.*

October 16, 2006

RECEIVED

OCT 23 2006

DCF COMMISSIONER'S OFFICE

Mr. Stephen R. Dale, Commissioner  
State of Vermont / Commissioner's Office  
Department for Children and Families  
103 South Main Street, Osgood 3  
Waterbury, VT 05671-2401

Re: Grant Number 206084

Dear Mr. Dale:

I am pleased to inform you that the Executive Committee has approved your Letter of Inquiry in the amount of \$20,155 for your Analysis of Vermont's Early Education Funding System Project. The grant has been approved under the Small Grant Procedure.

Under our Foundation guidelines for Small Grant Procedure, you will not be required to complete the Formal Grant Application. In lieu, we have a modified procedure. You will be required to submit the following information:

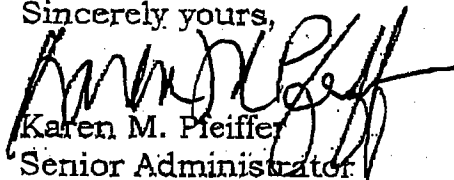
1. Small Grant Application - Complete and sign where required - **be specific as to the expected period for expenditure of this grant.**
2. Charter (or Articles of Incorporation) and By-Laws

Please return one copy of each of the above items via regular mail by October 30, 2006. No express or personal deliveries will be accepted.

Upon receipt and review of this information, I will forward the Grant Agreement to be signed and returned. Once the Grant Agreement has been signed by your organization, we will have a Trustee of the Foundation complete a tax and legal review of your file. **Your grant will not be effective until this review has been completed.**

We have assigned your request Grant Number 206084. Please reference this number when you contact us. If you have any questions, please call me.

Sincerely yours,



Karen M. Pfeiffer  
Senior Administrator

KMP/lm  
enc.

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Post Office Box 14096 • Fort Lauderdale, Florida 33302-4096  
Fort Lauderdale (954) 764-2819 • Fax (954) 764-2878 • Vermont (802) 888-1188



# *The A.D. Henderson Foundation, Inc.*

In submitting this grant application, the Applicant certifies as follows:

1. The Applicant was recognized by the Internal Revenue Service by letter dated \_\_\_\_\_ (add date of most recent letter) as an organization described in Section 501(c)(3) of the Internal Revenue Code and in the following category (check appropriate box):

- \_\_\_\_\_ Section 509(a)(1) and 170(b)(1)(A)(vi)
- \_\_\_\_\_ Section 509(a)(1), other than Section 170(b)(1)(A)(vi)
- \_\_\_\_\_ Section 509(a)(2)
- \_\_\_\_\_ Section 509(a)(3)
- \_\_\_\_\_ Section 509(a)(4)

2. A copy of the most recent letter referred to in paragraph 1 above addressed to the Applicant from the Internal Revenue Service has been previously furnished to the A.D. Henderson Foundation. In addition, the Applicant has not received from the Internal Revenue Service a revocation of, or change in, the determination or ruling contained in that letter.

3. To the best of the knowledge of the officers and directors or trustees of the Applicant, there has been no proposal, threat or suggestion by the Internal Revenue Service to the Applicant that the determination or ruling referred to in paragraph 1 above should be revoked or modified, and they know of no reason why that determination or ruling from the IRS might be revoked or modified.

4. The Applicant is a <sup>Governmental Organization</sup> (check correct description) nonprofit corporation \_\_\_\_\_, charitable trust \_\_\_\_\_, organized under the laws of (insert state) Vermont.

5. Copies of the Applicant's most recently filed IRS Form 990 return and its most recent annual financial statement (audited, if available) have been previously furnished to the A.D. Henderson Foundation. The listing of the Applicant's officers, directors, trustees or other managers contained in the Form 990 or financial statement is still correct. (If this is not accurate, please indicate a current listing in an attachment to this application.)

*The A. D. Henderson Foundation, Inc.*

6. None of the requested funds will be used by the Applicant to support or oppose legislation, or otherwise engage in grass roots or direct lobbying activities, to conduct any voter registration drive or activities, or to support or oppose any candidate for elective public office. (If this is not accurate, please strike through this paragraph 6 and describe the details of any such anticipated expenditure in an attachment to this application.)

7. The Applicant does not discriminate in conducting its affairs against any person on account of race, color, national origin, sex, religion or age.

8. The Applicant's governing body has authorized the undersigned officer to submit this Application and Certification.

9. The Applicant commits to the Foundation that it will advise the Foundation of any change in the certifications contained in any of paragraphs 1 through 8 above which occur while this grant application is pending.

Name of Applicant Organization:

Name and Title of officer providing certification (type or print):

*Agency of Human Services  
Department for Children & Families*

*Stephen R. Dale, Commissioner*

Address:

Signature of Officer:

*DEPARTMENT FOR CHILDREN & FAMILIES  
103 SOUTH MAIN ST  
WATERBURY, VT 05671*

*Stephen R. Dale*  
Date: *11/6/06*

Telephone No.: *(802) 241-4615*

**STATE of VERMONT**  
**AGENCY of HUMAN SERVICES**  
**DEPARTMENT for CHILDREN and FAMILIES**  
~ BUSINESS OFFICE ~

**MEMORANDUM**

Tel: (802) 241-2117

Fax: (802) 241-1106

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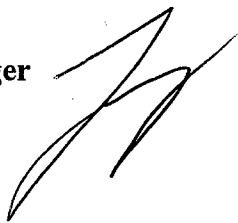
**TO:** Representative Michael Obuchowski  
Member, Joint Fiscal Committee

**THRU:** Steve Dale, Commissioner  
Department for Children and Families

**FROM:** Jill Gould, Asst. Fiscal Operations Manager  
Department for Children and Families

**DATE:** December 19, 2006

**SUBJECT:** Response to questions regarding JFO #2277



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Please accept this response to your 12/05/06 questions regarding JFO #2277 (\$20 155 grant from the A.D. Henderson Foundation to the Dept. for Children and Families):

- 1) Would like some background information on the A.D. Henderson Foundation.

The Website for this organization can be found at: <http://www.hendersonfdn.org/>  
The following information along with more details can be found on this web-page:  
The A.D. Henderson Foundation was founded in 1959 by A.D. and Lucy E. Henderson, who made their home in Fort Lauderdale, Florida. Dedicated to improving the lives of children through education, the Henderson's also sought to meet the constantly changing needs of our society. Through the Foundation, they strove to improve the economic, social and physical well-being of their communities. The trustees of the A.D. Henderson Foundation are dedicated to carrying on the goals of the Foundation within the framework provided by its founders. The mission of this organization is to provide an opportunity for all children to succeed, with a special interest in promoting literacy for children and families. We also seek to improve the efficiency and effectiveness of the nonprofit sector to serve the interests of our communities. The Foundation primarily limits its grant making to Broward and Marion Counties in Florida and the State of Vermont.

- 2) **Would like a chronology of what happened between October 23, 2006 (date grant approval letter was received by dept) and November 20, 2006 (date sent to Joint Fiscal Office).**

**There were 20 State work days between receiving the grant award letter on the 23<sup>rd</sup> of October and the JFO received date of November 20, 2006. Most of the time lag is due to internal DCF preparation and approval and the remaining time due to AHS, and State administrative procedural review and approval. The Commissioner of DCF signed the completed AA-1 and forwarded it for AHS Secretary approval on 11/6/06. The AHS Deputy Secretary approved and forwarded the form to Finance and Management on 11/9/06. The agency of Administration reviewed and approved the request 11/15/06 and 11/17/06 and the Governor approved the request on 11/20/06.**

- 3) **In the August 21, 2006 grant request letter from Commissioner Dale to Karen Pfeiffer of A.D. Henderson on page 3 under the heading "The Program" there is a reference regarding utilization of two (2) national consultants--Stephen Barnett and Lisa Snell and also a reference to research being conducted by the University of Vermont. These "consultants" are also listed under the "Proposed Budget" on page 4 of this letter. Representative Obuchowski would like to see a copy of all three of the above noted contracts. He would also like additional information as it pertains to the bidding process on these contracts; specifically, how many other bids were submitted and what were their contract bid amounts? Why were other contracts rejected and these selected.**

**This project and the corresponding opportunity for funding were initiated in response to a need generated by the Pre-K education study committee created in Act 186. DCF and DOE acted as conduits to help find qualified resources and funding to help this committee meet tight timelines.**

**After this funding request letter was sent, neither of the mentioned consultants nor UVM could conduct the analysis and prepare a report in the timeframe required by the study committee. Through a recommendation from UVM and in cooperation and review with the State of Vermont Department of Education, Charles H. Mindel was selected to perform this work. A copy of the grant for this work is attached.**

**Responses to general observations and areas of concern:**

- 4) **While noting there are memo's included in the package acknowledging researcher and other contractual work has already been done prior to JFC acceptance of this grant, in Item 8 of the AA-1 Form (Purpose of Grant) there is a reference that the dept "intends" to hire an independent researcher.**

**This wording was incorrect as the grant agreement with Mr. Mindel was already in effect.**

- 5) The AA-1 Form in Item 10 (Budget Information) should also have reflected this grant amount of \$20,155 under the "Revenues" section.

Yes, the revenues section was not correctly filled out. This will be corrected by implementing a Business Office review procedure.

- 6) There is a statutory approval process in place and there is a general overall concern that while there wasn't any request to "fast track" this item the dept expended funds in anticipation of this grant.

Yes, due to the tight study committee deadlines, the grant agreement to expend funds was entered into before approval to accept the funding. In the event the JFO does not accept these grant funds, the cost of the grant agreement would be borne evenly between DCF and DOE out of available authorized program appropriations.

If you have any additional questions or are in need of further information, please feel free to give me a call. Thank you for your attention in this matter.

c: Sarah Clark, AHS  
Rebecca Buck, JFO  
Steve Klien, JFO  
Maria Belliveau, JFO

03443

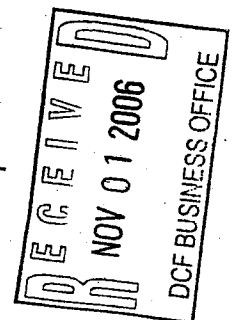
1. Parties: This is a Grant Agreement for services between the State of Vermont, **Department for Children and Families** (hereinafter called "State"), and **Charles Mindel, Ph.D.**, with a principal place of business at **98 High Meadow Lane, Middlesex, VT 05602** (hereinafter called "Subrecipient" or "Grantee"). The Grantee's fiscal agent and address is the same as above. The Grantee is not required to have a Business Account Number from the Vermont Department of Taxes. The Account # is: **N/A**.
2. Subject Matter: The subject matter of this Grant Agreement is to address specific issues regarding funding of early education. Detailed services to be provided by the Subrecipient are described in Attachment A.
3. Maximum Amount: In consideration of the services to be performed by the Subrecipient, the State agrees to pay the Subrecipient, per payment provisions specified in Attachment B, a sum not to exceed **\$17,000.00**.
4. Grant Term: The period of Subrecipient's performance shall begin on **October 9, 2006** and end on **January 31, 2007**. This grant may be extended for a period or periods totaling up to two additional years beyond the initial grant term by mutual agreement of both parties.
5. Source of Funds: Federal:      General: **GRANT FROM THE HENDERSON FOUNDATION**
6. CFDA Title: **N/A**; CFDA Number: **N/A**; Award Name: **N/A**; Award Number: **N/A**; Award Year: **N/A**; Federal Granting Agency: **N/A**; State Grant Agreement #: **03440-30129-07**; Research and Development Grant? Yes  No
7. Amendment: No changes, modifications, or amendments in the terms and conditions of this Grant shall be effective unless reduced to writing, numbered, and signed by the duly authorized representative of the State and Grantee.
8. Cancellation: This Grant Agreement may be suspended or cancelled by either party by giving written notice to the other party at least 30 days in advance.
9. Contact Persons for this Award:  

State:	Kimberly Keiser
Phone:	(802) 241-3110
E-Mail:	kkeiser@srs.state.vt.us
Grantee:	Charles Mindel
Phone:	(802) 229-9274
E-Mail:	chmindel@gmail.com
10. Fiscal Year: Grantee fiscal year starts on **N/A** and ends on **N/A**.

**RECEIVED**

OCT 23 2006

CHILD DEVELOPMENT  
DIVISION





11. Attachments: This Grant consists of 18 pages including the following attachments which are incorporated herein:

- Attachment A – Specifications of Work to be Performed
- Attachment B – Payment Provisions
- Attachment C – Customary State Grant Provisions
- Attachment D – Modifications of Insurance (if applicable)
- Attachment E – Business Associate Agreement (not applicable)
- Attachment F – AHS Policy 96-23
- Attachment G – Other Grant Provisions

WE, THE UNDERSIGNED PARTIES, AGREE TO BE BOUND BY THIS GRANT.

FOR THE STATE OF VERMONT

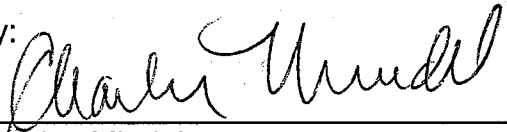
FOR THE GRANTEE

By:

  
\_\_\_\_\_

Steve Dale, Commissioner  
Department for Children and Families

By:

  
\_\_\_\_\_

Charles Mindel

Date:

10/25/06

Date:

10/20/06

Approved as to Form:

By:

  
\_\_\_\_\_

Assistant Attorney General

Date:

10/17/06

## ATTACHMENT A

### SPECIFICATIONS OF WORK TO BE PERFORMED

The purpose of this project is to answer the following questions about early education programs in Vermont:

1. What kinds of services and educational programs are offered by existing Prekindergarten programs?
2. How are these services and programs currently funded?
3. How are the funds generated through Average Daily Membership (ADM) used?
4. What are the terms of contracts school districts or individual schools negotiate with private programs?
5. Do districts contract with programs outside of the school district?
6. When and how did the prekindergarten program start and evolve?

**Grantee agrees to address the above questions according to the following Data Collection Plan and Timeline:**

#### **Data Collection Plan:**

Approximately eight school districts in Vermont which receive funds generated through the ADM funding mechanism will be selected for analysis. The eight districts have tentatively been selected by a subcommittee of the Prekindergarten Education Legislative Study Committee. Representatives of each of these districts will be interviewed regarding the questions listed above. An interview protocol has been drafted and will be finalized during the first week of this project.

Once the eight districts have been selected approximately two preschool or prekindergarten programs from each district will be selected for further review (approximately 15 programs). Interviews with program directors and/or teachers will be conducted. Information collected will include mostly descriptive information such as: is the program school-based or community-based, center-based or family home-based, size of enrollment, length of time providing prekindergarten program, rural versus urban

Each of the program's budget will also be reviewed in order to examine operational expenses, sources of income and revenue, fees charged. In particular, an analysis of how ADM funds are budgeted and spent will be undertaken.

#### **Reporting**

The results of this review will be presented to the Prekindergarten Education Legislative Study Committee as a written report and oral presentation. It will be combined with a larger study of prekindergarten programs being conducted by the in-house staff of the committee.



**ATTACHMENT B  
PAYMENT PROVISIONS**

- I. The maximum dollar amount payable under this Grant is not intended to guarantee any amount of payment. The Grantee will be paid at the billable rates for services actually performed, up to the maximum allowable amount.
- II. For its part, in consideration of the services delivered by Grantee pursuant to this Grant, State agrees to make payment at the rate of \$600.00 per day, up to [redacted] days, plus expenses up to \$2,600.00. Invoices should be submitted for payment every two weeks.
- III. **Invoices submitted more than 60 days after the month of service will not be honored.**

IV. Grant ceiling not to exceed: \$\$17,000.00

V. Invoices should be sent to:

Kimberly Keiser, Deputy Commissioner  
Child Development Division  
103 South Main Street, A Building  
Waterbury, VT 05671-5500

Remittance Address of Grantee:

Charles Mindel, Ph.D.  
98 High Meadow Lane  
Middlesex, VT 05602

*Handwritten:*  
17,000 - Expense MAX.  
(2,600)  
14,400.00 - for Services

*Handwritten:*  
 $\frac{14,400}{600} = \underline{\underline{24 \text{ days}}}$

**ATTACHMENT C**  
**CUSTOMARY STATE GRANT PROVISIONS**

1. **Entire Agreement:** This Grant Agreement represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.
2. **Applicable Law:** This Grant Agreement will be governed by the laws of the State of Vermont. The Subrecipient must comply with all the federal requirements pertaining to the expenditure of federal funds.
3. **Appropriations:** If this Grant Agreement extends into more than one fiscal year of the state (July 1 to June 30), and if appropriations are insufficient to support this grant, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriations authority. **Availability of Federal Funds:** This Grant is funded in whole or in part by federal funds. In the event the federal funds supporting this grant become unavailable or are reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.
4. **No Employee Benefits for Subrecipient:** The Subrecipient understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation and sick leave, workers compensation or other benefits or services available to State employees, nor will the State withhold any federal or state taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Grant Agreement. The Subrecipient understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Subrecipient, and information as to grant income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.
5. **Independence, Liability:** The Subrecipient will act in an independent capacity and not as officers or employees of the State. The Subrecipient shall indemnify, defend and hold harmless the State and its officers and employees from liability and any claims, suits, judgments, and damages arising as a result of the Subrecipient's acts and/or omissions in the performance of this Grant Agreement. The Subrecipient shall notify its insurance company and the State within 10 days of receiving any claim for damages, notice of claims, pre-claims, or service of judgments or claims, for any act or omissions in the performance of this Grant Agreement.
6. **Insurance:** Before commencing work on this Grant the Subrecipient must provide certificates of insurance to show that the following minimum coverage are in effect. The Subrecipient must notify the State no more than 10 days after receiving cancellation notice of any required insurance policy. It is the responsibility of the

Subrecipient to maintain current certificates of insurance on file with the State through the term of the Grant. Failure to maintain the required insurance shall constitute a material breach of the Grant.

**Workers Compensation:** With respect to all operations performed, the Subrecipient shall carry workers compensation insurance in accordance with the laws of the State of Vermont.

**General Liability and Property Damage:** With respect to all operations performed under the Grant, the Subrecipient shall carry general liability insurance having all major divisions of coverage including, but not limited to:

- Premises - Operations
- Independent Contractors' Protective
- Products and Completed Operations
- Personal Injury Liability
- Contractual Liability

The policy shall be on an occurrence form and limits shall not be less than:

- \$1,000,000 Per Occurrence
- \$1,000,000 General Aggregate
- \$1,000,000 Products/Completed Operations Aggregate
- \$ 50,000 Fire Legal Liability

**Automotive Liability:** The Subrecipient shall carry automotive liability insurance covering all owned, non-owned and hired vehicles used in connection with the Grant. Limits of coverage shall not be less than: \$1,000,000 Combined single limit.

**Professional Liability:** Before commencing work on this Grant Agreement and throughout the term of this Grant, the Subrecipient shall procure and maintain professional liability insurance for any and all services performed under this Grant Agreement, with minimum coverage of \$N/A per occurrence.

No warranty is made that the coverage and limits listed herein are adequate to cover and protect the interests of the Subrecipient for the Subrecipient's operations. These are solely minimums that have been set to protect the interests of the State.

7. **Reliance by the State on Representations:** All payments by the State under this Grant Agreement will be made in reliance upon the accuracy of all prior representations by the Subrecipient, including but not limited to bills, invoices, progress reports and other proofs of work.
8. **Requirements to Have a Single Audit:** If the Subrecipient expends \$500,000 or more in federal assistance during its fiscal year, it is required to have a single audit conducted per the Single Audit Act, except when it elects to have a program specific audit. The subrecipient may elect to have a program specific audit if it expends

funds under only one federal program and the federal program's laws, regulating or grant agreements do not require a financial statement audit of the entity.

A subrecipient is exempt if the entity expends less than \$500,000 in total federal assistance in one year.

The subrecipient will complete the Certification of Audit Requirements annually within 45 days after its fiscal year end. If a single audit is required, the subrecipient will submit a copy of the audit report to the primary pass-through entity and any other pass-through entity that requests it within 9 months. If a single audit is not required, the subrecipient will submit the Schedule of Federal Expenditures within 45 days. These forms will be mailed to the subrecipient by the Department of Finance and Management near the end of its fiscal year. These forms are also available on the [VISION Web page](#).

9. **Records Available for Audit:** The Subrecipient will maintain all books, documents, payroll, papers, accounting records and other evidence pertaining to costs incurred under this Grant Agreement and make them available at reasonable times during the period of the Grant and for three years thereafter for inspection by any authorized representatives of the State or Federal government. If any litigation, claim or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved. The State, by any authorized representative, shall have the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed under this Grant Agreement.
10. **Fair Employment Practices & Americans with Disabilities Act:** The Subrecipient agrees to comply with the requirement of Title 21 V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. The Subrecipient shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990 that qualified individuals with disabilities receive equitable access to services, programs, and activities provided by the Subrecipient under this Grant Agreement. The Subrecipient further agrees to include this provision in all subgrants.
11. **Set Off:** The State may set off any sums which the Subrecipient owes the State against any sums due the Subrecipient under this Grant Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.
12. **Taxes Due to the State:**
  - a. Subrecipient understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.
  - b. Subrecipient certifies under the pains and penalties of perjury that, as of the date

the Grant Agreement is signed, the Subrecipient is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.

- c. Subrecipient understands that final payment under this Grant Agreement may be withheld if the Commissioner of Taxes determines that the Subrecipient is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.
  - d. Subrecipient also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Subrecipient has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Subrecipient has no further legal resource to contest the amounts due.
13. **Child Support:** (Applicable if the Subrecipient is a natural person, not a corporation or partnership.) Subrecipient states that, as of the date the Grant Agreement is signed, he/she:
- a. is not under any obligation to pay child support; or
  - b. is under such an obligation and is in good standing with respect to that obligation; or
  - c. has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Subrecipient makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Subrecipient is a resident of Vermont, Subrecipient makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

14. **Sub-Granting:** Subrecipient shall not assign or subgrant performance of this Grant or any portion thereof to any other Subgrantee without the prior written approval of the State. They must advise their subrecipients of requirements imposed on them by federal laws, regulations, and provisions of contracts or grant agreements, as well as any supplemental requirements imposed by the pass-through entity. They must also set up a plan for monitoring those subrecipients' use of the funds.
15. **No Gifts or Gratuities:** Subrecipient shall not give title or possession of any thing of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this Grant Agreement.
16. **Copies:** All written reports prepared under this Grant Agreement will be printed using both sides of the paper.
17. **Access to Information:** The Subrecipient agrees to comply with the requirements of AHS Rule No. 96-23 concerning access to information. The Subrecipient shall require all of its employees performing services under this Grant Agreement to sign the AHS affirmation of understanding or an equivalent statement.



18. **Suspension and Debarment:** Non-federal entities are prohibited by Executive Orders 12549 and 12689 from contracting with or making sub-awards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred. Covered transactions include procurement contracts for goods or services equal to or in excess of \$25,000 and all non-procurement transactions (grants to sub-recipients). By signing this Grant Agreement, current Subrecipient certifies as applicable, that the contracting organization and its principals are not suspended or debarred by GSA from federal procurement and non-procurement programs.
19. **Health Insurance Portability & Accountability Act (HIPAA):** The confidentiality of any health care information acquired by or provided to the Subrecipient shall be maintained in compliance with any applicable state or federal laws or regulations.
20. **Abuse Registry:** The Subrecipient agrees not to employ any individual, or use any volunteer, to provide for the care, custody, treatment, or supervision of children or vulnerable adults if there is a substantiation of abuse or neglect or exploitation against that individual. The Subrecipient will check the Adult Abuse Registry in the Department of Disabilities, Aging and Independent Living. Unless the Subrecipient holds a valid childcare license or registration from the Division of Child Development, Department for Children and Families, the Subrecipient shall also check the Central Child Abuse Registry. (See 33 V.S.A. §4919 & 33 V.S.A. §6911).
21. **Voter Registration:** When designated by the Secretary of State, the Subrecipient agrees to become a voter registration agency as defined by 17 V.S.A. §2103 (41), and to comply with the requirements of State and Federal law pertaining to such agencies.
22. **Non-Discrimination Based on National Origin as evidenced by Limited English Proficiency:** The Subrecipient agrees to comply with the non-discrimination requirements of Title VI of the Civil Rights Act of 1964, 42 USC Section 2000d, et seq., and with the federal guidelines promulgated pursuant to Executive Order 13166 of 2000, which require that contractors and sub-grantees receiving federal funds must assure that persons with limited English proficiency can meaningfully access services. To the extent the Subrecipient provides assistance to individuals with limited English proficiency through the use of oral or written translation or interpretive services in compliance with this requirement, such individuals cannot be required to pay for such services.

ATTACHMENT D

The requirements contained in Attachment C, Section 6 are hereby modified:

**Type of insurance Coverage:** Automotive Liability

**Modifications:** The Grantee shall carry automotive liability insurance covering all motor vehicles, including owned, non-owned and hired, used in connection with the Grant with limits not less than \$300,000 bodily injury per person, \$300,000 bodily injury per occurrence, and \$100,000 property damage per occurrence.

**Reason for Modification:** The Grantee will not be providing transportation to clients of the State served under this grant.

**Approval:**

Assistant Attorney General: Shawn C. Zimm

Date: 10/17/06

**ATTACHMENT E**  
**BUSINESS ASSOCIATE AGREEMENT (BAA)**

**Not required by the Attorney General's Office (HIPAA Worksheet on file with the State/Child Development Division)**

**ATTACHMENT F**  
**Agency of Human Services Rule # 96-23**  
**Final Adopted Rule for Access to Information**

**I. Definitions**

- 1.1 "Agency" means the Agency of Human Services or any of the offices, departments or programs that comprise the Agency.
- 1.2 "AHS" means the Vermont Agency of Human Services.
- 1.3 "Client" means an individual or family who is voluntarily served by a department, office, program, Contractor or grantee of the Agency of Human Services.
- 1.4 "Contractor" means an individual or entity with whom the Agency or any of its departments, offices, or programs has a contract to provide personal services.
- 1.5 "Employee" means any person who works in a full-time, part-time, temporary or contractual position for the Agency or any of its departments, offices, or programs.
- 1.6 "Grantee" means an individual or entity with whom the Agency or any part thereof has a grant to provide personal services.
- 1.7 "Program" means a set of services, (such as determining and processing ANFC benefits, verifying and setting up delivery for WIC foods) for which the Agency bears fiscal responsibility.
- 1.8 "Administrative Obligations" means activities pursuant to federal or state laws or regulations (such as verification of eligibility, verification of service delivery, detection of fraud, monitoring of quality assurance, audit of expenditure reports) which provide for accountability in the use of public funds.

**II. Basic Principles**

**2.1 Presumption of Confidentiality**

All information specific to and identifying of individuals and families is presumed to be confidential and subject to these standards. Employees shall not disclose the information unless a specific exception to the presumption applies or the disclosure is authorized by the client, a court or otherwise by law or rule.

**2.2 Existing Statutes**

These rules are not intended to expand or diminish current provisions in law relating to disclosure of confidential information.

**2.3 Information Collection**

Employees shall collect and record only that information needed to fulfill the goal of serving the client and meeting administrative or legal obligations.

**2.4 Informing Clients**

At the initial meeting with each client, or within two weeks, employees shall review and offer to provide the rules for access to information to the client.

### **III. Permissible Disclosures**

#### **3.1 Client consent**

No information about a client shall be released without prior consent from the client, unless directly connected with the administration of a program or necessary for compliance with federal or state laws or regulations.

#### **3.2 Sharing "Non-identifiable" Information**

Information that does not identify a client may be used for statistical research, forecasting program needs, or other such purposes.

#### **3.3 Public Information**

Information defined as public by 1 VSA & 317 or other applicable statute is available to the public. The procedures in the public records statute shall be followed before public information is released.

#### **3.4 Information Sharing for Administrative Purposes**

Employees may share information necessary to satisfy the Agency's administrative obligations. Departments will develop written agreements limiting the kinds of information to be shared when programs are jointly administered by different Departments. No information shall be released to a person or entity that is out of state, unless directly connected with the administration of a program or necessary for compliance with federal or state laws or regulations.

#### **3.5 Disclosure without Consent in Limited Circumstances**

Employees must release sufficient information to comply with mandatory reporting requirements for cases involving the abuse, neglect, or exploitation of children and persons who are elderly or who have disabilities. Information may be released without consent when Vermont law creates a duty to warn identified individuals of potential harm to their person or property, in response to court orders, or to investigate or report criminal activity as required by federal or state law or regulation. Only information relevant to the situation shall be disclosed. The employee shall document the date, purpose and content of the report, the name, address and affiliation of the person to whom the information was released, and shall notify the client that the information was disclosed.

### **IV. Procedures Related to Consent**

#### **4.1 Obtaining Informed Consent**

Prior to releasing confidential information the Agency shall obtain the client's informed consent. This includes providing information about consent in a language and format understandable to the client. Reasonable accommodations shall be made for special needs based on the individual or family's education, culture, or disability. Employees shall inform clients that granting consent is not a pre-requisite for receiving services, and shall explain that they may apply for services separately.

#### **4.2 Consent of Minors to Release of Information**

Employees shall obtain the consent of a minor client to release information concerning treatment for which parental consent is not required.

#### 4.3 Format for Consent to Share Information

Consent for the sharing or release of information shall ordinarily be in writing. If an emergency situation requires granting of verbal consent, written consent shall be obtained at the next office visit or within thirty days, whichever comes sooner. Required information will include:

1. Names of the people about whom information may be shared.
2. A checklist of the kinds of information to be shared.
3. A checklist of the departments within the Agency to receive the information.
4. A statement or date covering expiration of consent.
5. A statement about procedures for revoking consent.
6. Signature of individuals covered by the consent or their parents or guardians.
7. Signature of the individual explaining the consent process with position and job title.
8. A space to provide individualized instructions.

A copy of the consent form shall be provided to all signatories.

#### 4.4 Client Access to Records

Unless prohibited by federal or state law or regulation, clients shall be permitted to view and obtain copies of their records. Each department within the Agency shall have written procedures which permit clients to verify personal information they have provided for accuracy and completeness and for placing amendments to the information in their files. Employees shall take reasonable steps to present records in a form accessible to the client, including but not limited to large type format or verbal review. A fee not to exceed the actual cost of copying may be charged for records exceeding 10 pages. This fee shall be waived if it would prohibit access.

### V. Procedures to Protect Confidentiality

#### 5.1 Staff Training

All AHS employees and all AHS volunteers and interns, shall be instructed in these rules. AHS shall train their Contractors and grantees who shall, in turn, provide the same instruction for their employees, interns, and volunteers.

#### 5.2 Response to Requests for Information

An employee shall not respond to requests from outside the Agency for information about clients even to acknowledge that the person is a client, unless authorized. If a client has consented to or requests that information be released, the employee shall comply with the request.

#### 5.3 Designated Individual

Each agency or department shall appoint one or more trained staff members to be responsible for responding to all requests for client information when there is no written consent to release, and no statutory or administrative authority permitting release of the requested information. These individuals shall be specially trained in maintaining confidentiality. A list of the designated individuals for each department and office shall be maintained in the Attorney General's Office, Human Services Division.

#### 5.4 Affirmation of Understanding

Employees shall sign an affirmation that they will comply with these rules. This affirmation

shall be part of their personnel files. Supervisors shall review this affirmation during annual evaluations. Violation of these rules shall result in disciplinary action.

#### 5.5 Written Agreements with Grantees or Contractors

The following assurance, or one similar to it, will be included in all AHS grants/contracts signed after these rules have been approved:

[Grantee/Contractor] agrees to comply with the requirements of AHS Rule No. 96-23 concerning access to information. The Contractor shall require all of its employees to sign the AHS Affirmation of Understanding or equivalent statement.

#### 5.6 Client Referrals

When referring a client to another agency for services, if the referral does not meet the criteria for permissible disclosures under Section 3.4, the initial agency shall obtain the consent of the client for the referral and alert the receiving agency that confidential client information accompanies the referral.

#### 5.7 Documentation of Disclosure

Requests for disclosures of client information shall be maintained in the client's file if the request does not meet the definition of a permissible disclosure under Section 3.4. Employees shall document in writing any information actually disclosed, along with the name of the person/agency to whom it was disclosed and the date of the disclosure. When permissible disclosures are made under Section 3.4, documentation may be limited to the name of the department/agency/program to whom the disclosure was made.

### VI. Information Systems

#### 6.1 Computerized Information

When developing a computerized data system, the Agency shall:

1. Develop security procedures consistent with the rule;
2. Instruct staff in the security procedures;
3. Inform clients if a computerized system is being used;
4. Establish written agreements with participating agencies outlining procedures for sharing and protecting information.
5. Develop security procedures in relation to the transmission of information.

#### 6.2 Security Procedures

The Agency shall develop a protocol which is consistent with the requirements of this rule to safeguard confidential client information. Contractors and grantees shall also develop a protocol or shall adopt the protocol of the Agency. The protocol shall be designed to safeguard written information, data in computer systems, and verbal exchange of information. The protocol shall prohibit unauthorized access to records and include an appropriate disciplinary process for violations of the security rules.

#### 6.3 Procedures

Written procedures for implementing these rules shall be used as the basis for employee instruction and shall be available for review in the Agency Central Office.

AGENCY OF HUMAN SERVICES  
103 South Main Street  
Waterbury, Vermont 05676

VII. AFFIRMATION OF UNDERSTANDING STATEMENT

As a Grantee for the State of Vermont, I affirm that I have read the Agency of Human Services (AHS) Rule No. 96-23 concerning Access to Information, and that I agree to comply with the requirements of AHS Rule No. 96-23.

I shall require all of my employees performing services under this grant, to sign an affirmation of understanding statement. Employee statements need not be sent to the State. However, they shall remain in Grantee's personnel records. The State can request copies of such documents if necessary.

\_\_\_\_\_  
Name of Company (Print or Type)

Charles Mindel  
Authorized Signature

10/20/00

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title



**ATTACHMENT G**  
**OTHER GRANT PROVISIONS**

1. **Termination:** This Grant may be suspended or cancelled by either party by giving written notice at least 30 days in advance. Notwithstanding this provision, if the Agency of Human Services or subdivision, or the Department of Labor determines that the Grantee's program or facility is not operating in compliance with State and Federal law or is operating with deficiencies that pose immediate jeopardy to a child's health, welfare or safety, the State may terminate this Grant immediately and shall give such notice of the effective date of termination to the Grantee. Additionally, in the event that federal funds supporting this Grant become unavailable or are reduced, the State may cancel this Grant immediately and forthwith, and the State shall have no obligation to pay the Grantee from State revenues.
2. **Confidentiality:** The Grantee agrees not to disclose the names of or information pertaining to any child referred to the Grantee by the State, and agrees to adhere to the confidentiality requirements of 33 V.S.A. Section 306. This shall not preclude the Grantee from releasing the name of a child, or other relevant information, if necessary, for purposes directly connected with providing services to a child under this Grant.
3. **Child Abuse Reporting:** Notwithstanding the provision of 33 V.S.A. section 4913(a) any agent or employee of the Grantee who has reasonable cause to believe that a child has been abused or neglected as defined in Chapter 49 of Title 33 V.S.A. shall report the suspected abuse or neglect to the Commissioner of the Department for Children and Families (DCF) within one working day. The report shall contain the information required by 33 V.S.A. Section 4914.
4. **Pro-Children Act of 1994 (as Amended):** The Grantee will abide by Public Law 103-227, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee.
5. **Lobbying:** The Grantee cannot use any state and federal funds awarded under this grant to lobby; that is, to influence state or federal legislative or administrative action.

**STATE of VERMONT**  
**AGENCY of HUMAN SERVICES**  
**DEPARTMENT for CHILDREN and FAMILIES**  
**~ BUSINESS OFFICE ~**

**MEMORANDUM**

**Tel: (802) 241-2117**

**Fax: (802) 241-1106**

---

**TO: Representative Michael Obuchowski**  
**Member, Joint Fiscal Committee**

**THRU: Steve Dale, Commissioner**  
**Department for Children and Families**

**FROM: Jill Gould, Asst. Fiscal Operations Manager**  
**Department for Children and Families**

**DATE: December 19, 2006**

**SUBJECT: Response to questions regarding JFO #2277**

---

**Please accept this response to your 12/05/06 questions regarding JFO #2277 (\$20 155 grant from the A.D. Henderson Foundation to the Dept. for Children and Families):**

- 1) Would like some background information on the A.D. Henderson Foundation.**

**The Website for this organization can be found at:**

**<http://www.hendersonfdn.org/>**

**The following information along with more details can be found on this web-page:**

**The A.D. Henderson Foundation was founded in 1959 by A.D. and Lucy E. Henderson, who made their home in Fort Lauderdale, Florida. Dedicated to improving the lives of children through education, the Henderson's also sought to meet the constantly changing needs of our society. Through the Foundation, they strove to improve the economic, social and physical well-being of their communities. The trustees of the A.D. Henderson Foundation are dedicated to carrying on the goals of the Foundation within the framework provided by its founders. The mission of this**

**organization is to provide an opportunity for all children to succeed, with a special interest in promoting literacy for children and families. We also seek to improve the efficiency and effectiveness of the nonprofit sector to serve the interests of our communities. The Foundation primarily limits its grant making to Broward and Marion Counties in Florida and the State of Vermont.**

- 2) Would like a chronology of what happened between October 23, 2006 (date grant approval letter was received by dept) and November 20, 2006 (date sent to Joint Fiscal Office).**

**There were 20 State work days between receiving the grant award letter on the 23<sup>rd</sup> of October and the JFO received date of November 20, 2006. Most of the time lag is due to internal DCF preparation and approval and the remaining time due to AHS, and State administrative procedural review and approval. The Commissioner of DCF signed the completed AA-1 and forwarded it for AHS Secretary approval on 11/6/06. The AHS Deputy Secretary approved and forwarded the form to Finance and Management on 11/9/06. The agency of Administration reviewed and approved the request 11/15/06 and 11/17/06 and the Governor approved the request on 11/20/06.**

- 3) In the August 21, 2006 grant request letter from Commissioner Dale to Karen Pfeiffer of A.D. Henderson on page 3 under the heading "The Program" there is a reference regarding utilization of two (2) national consultants--Stephen Barnett and Lisa Snell and also a reference to research being conducted by the University of Vermont. These "consultants" are also listed under the "Proposed Budget" on page 4 of this letter. Representative Obuchowski would like to see a copy of all three of the above noted contracts. He would also like additional information as it pertains to the bidding process on these contracts; specifically, how many other bids were submitted and what were their contract bid amounts? Why were other contracts rejected and these selected.**

**This project and the corresponding opportunity for funding were initiated in response to a need generated by the Pre-K education study committee created in Act 186. DCF and DOE acted as conduits to help find qualified resources and funding to help this committee meet tight timelines.**

**After this funding request letter was sent, neither of the mentioned consultants nor UVM could conduct the analysis and prepare a report in the timeframe required by the study committee. Through a recommendation from UVM and in cooperation and review with the State of Vermont Department of Education, Charles H. Mindel**

was selected to perform this work. A copy of the grant for this work is attached.

**Responses to general observations and areas of concern:**

- 4) While noting there are memo's included in the package acknowledging researcher and other contractual work has already been done prior to JFC acceptance of this grant, in Item 8 of the AA-1 Form (Purpose of Grant) there is a reference that the dept "intends" to hire an independent researcher.

This wording was incorrect as the grant agreement with Mr. Mindel was already in effect.

- 5) The AA-1 Form in Item 10 (Budget Information) should also have reflected this grant amount of \$20,155 under the "Revenues" section.

Yes, the revenues section was not correctly filled out. This will be corrected by implementing a Business Office review procedure.

- 6) There is a statutory approval process in place and there is a general overall concern that while there wasn't any request to "fast track" this item the dept expended funds in anticipation of this grant.

Yes, due to the tight study committee deadlines, the grant agreement to expend funds was entered into before approval to accept the funding. In the event the JFO does not accept these grant funds, the cost of the grant agreement would be borne evenly between DCF and DOE out of available authorized program appropriations.

If you have any additional questions or are in need of further information, please feel free to give me a call. Thank you for your attention in this matter.

c: Sarah Clark, AHS  
Rebecca Buck, JFO  
Steve Klien, JFO  
Maria Belliveau, JFO



**Mailing Address:**  
1 Baldwin Street  
Drawer 33  
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295  
Fax: (802) 828-2483

**STATE OF VERMONT  
JOINT FISCAL COMMITTEE**  
1 Baldwin Street  
Montpelier, Vermont 05633-5701

## MEMORANDUM

**To:** Joint Fiscal Committee Members

**From:** Rebecca Buck, Staff Associate *RB*

**Date:** December 1, 2006

**Subject:** Grant Request

Enclosed please find one (1) request which the Joint Fiscal Office recently received from the Administration:

**JFO #2277** – \$20,155 grant from the A.D. Henderson Foundation to the Department for Children and Families. These grant funds will be used to reimburse the Department for contractual research services provided to support the Prekindergarten Education Study Committee.

*[JFO received 11/28/06]*

The Joint Fiscal Office has reviewed this submission and determined that all appropriate forms bearing the necessary approvals are in order.

In accordance with the procedures for processing such requests, we ask you to review the enclosed and notify the Joint Fiscal Office (Rebecca Buck at 802/828-5969; [rbuck@leg.state.vt.us](mailto:rbuck@leg.state.vt.us) or Stephen Klein at 802/828-5769; [sklein@leg.state.vt.us](mailto:sklein@leg.state.vt.us)) if you would like this item held for committee review. Unless we hear from you to the contrary by December 15 we will assume that you agree to consider as final the Governor's acceptance of this request.

cc: James Reardon, Commissioner  
Linda Morse, Administrative Assistant  
Cynthia LaWare, Secretary  
Stephen Dale, Commissioner

STATE OF VERMONT  
GRANT ACCEPTANCE FORM

JFO #  
2277

DATE: November 16, 2006

DEPARTMENT: AHS / Department for Children and Families

GRANT/DONATION (brief description and purpose): Act 186 of the 2006 Session created a prekindergarten education study committee. On or before January 30, 2007 the committee must report its conclusions to various legislative standing committees. This grant funds the research consultants supporting the study. The primary researcher evidently began work in mid-October when notice of the grant award was received.

GRANTOR/DONOR: A.D. Henderson Foundation

GRANT PERIOD: 10/15/06 – 1/30/07

AMOUNT/VALUE: \$20,155

POSITIONS REQUESTED (LIMITED SERVICE): None

ANY ON-GOING, LONG-TERM COSTS TO THE STATE: This grant supports a legislative study committee that reports to various legislative committees on January 30, 2007.

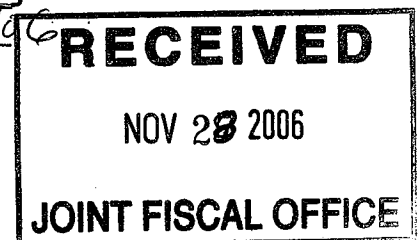
COMMENTS:

DEPT. FINANCE AND MANAGEMENT:  
SECRETARY OF ADMINISTRATION:  
SENT TO JOINT FISCAL OFFICE:

(INITIAL) me

(INITIAL) me

(DATE) 11/20/06



GRANT REVIEW & RECOMMENDATION

Requesting Agency: AHS / Department for Children & Families

Granting Agency: A.D. Henderson Foundation

Grant Summary:

New or continuing program: New – One-time study

Title: A Study of Public Funding for Pre-K Education

Period: 10/15/06 – 1/30/07

Grant Amount: \$20,155

Brief description: Act 186 of the 2006 Session created a prekindergarten education study committee. On or before January 30, 2007 the committee must report its conclusions to various legislative standing committees. This grant funds the research consultants supporting the study. The primary researcher evidently began work in mid-October when notice of the grant award was received.

Recommendation: Approval by the Governor and submission to the Joint Fiscal Committee for its action.

  
Jan Westervelt, Budget Analyst

11-15-06  
Date

**STATE OF VERMONT**  
**REQUEST FOR GRANT ACCEPTANCE**  
 (use additional sheets as needed)

**FORM AA-1**  
 (Rev. 9-90)

1. Agency: Agency of Human Services  
 2. Department: Children and Families (DCF)  
 3. Program: Commissioner's Office
4. Legal Title of Grant: Study on Public funding for Pre-K Education  
 5. Federal Catalog No.:  
 6. Grantor and Office Address:  
 A.D. Henderson Foundation  
 P.O. Box 14096  
 Fort Lauderdale, FL 33302-4096

7. Grant Period: From: To:

8. Purpose of Grant: (attach additional sheets if needed)  
 The Department for Children and Families, in conjunction with the Vermont Department of Education, intends to hire an independent researcher to conduct a study of the current use of public funding for Pre-K education in Vermont as part of the Act 186 Legislative Committee. The funds are from a private foundation. There is no obligation of state general finds and no expectations that any additional funds will be received or needed. This is a one-time project.

9. Impact on Existing Programs if Grant is not Accepted:  
 this will fund a study. While no funding will not negatively impact a program, it is needed

10. Budget Information: ATTACHED

	(1st State FY) FY 2006	(2nd State FY) FY 2007	(3rd State FY) FY 2008
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**EXPENDITURES: See attached**

Personal Services	\$ 17,100.00	\$	\$
Operating Expenses	\$	\$	\$
Grants	\$ 3,055.00	\$	\$
<b>TOTAL</b>	<b>\$ 20,155.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

**REVENUES:**

<u>State Funds:</u>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<u>Federal Funds:</u>			
(Direct Costs)	\$	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
<u>Other Funds:</u>			
(source) Grant	\$	\$	\$

<b>TOTAL</b>	<b>\$ 20,155.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>
--------------	---------------------	----------------	----------------

Appropriation Nos.

Amounts

\$  
\$  
\$

-over-

RECD NOV 14 2006




Form AA-1

Page 2

11. Will grant monies be spent by one or more personal service contracts?

YES  NO

If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

X 

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
<b>TOTAL Positions</b>	<b>0</b>

12b. Equipment and space for these positions:


Is presently available.  
 Can be obtained with available funds.

N/A

13. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.

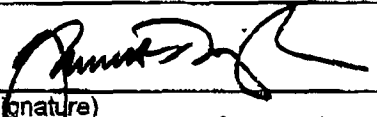
\* See attached explanation

 11/6/06  
(Signature) (Date)

Commissioner  
(Title)

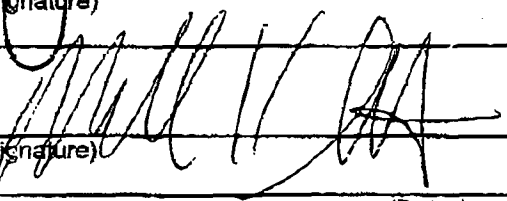
14. Action by Governor:

Approved  
 Rejected

 11/20/06  
(Signature) (Date)

15. Secretary of Administration:

Request to JFO  
 Information to JFO

 11/17/06  
(Signature) (Date)

16. Action by Joint Fiscal Committee:

Request to be placed on JFC agenda  
 Approved (not placed on agenda in 30 days)  
 Approved by JFC  
 Rejected by JFC  
 Approved by Legislature

(Dates)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(Signature) (Date)

Memo to: Governor Douglas, Secretary Smith and Joint Fiscal Committee

From: Steve Dale, Commissioner, DCF

NOV 14 2006

Date: November 6, 2006

Re: Grant acceptance

---

I would like to ask for your support on accepting this grant. This grant was necessitated as a result of work done by the Pre-K Study committee formed through Act 186. Due to the time constraints on the work needed for this committee, an expedited response is requested.

Please do not hesitate to contact me if you have questions.

REC'D NOV 14 2006

TO WHOM IT MAY CONCERN:

Act 186 of the 2006 Legislative Session created a Pre-K study Committee which was charged with looking deeply into Pre-K Early Education. Part of the discovery process around this is a proposal to contract with a researcher to look in detail at 8 supervisory unions and 15 early childhood programs to understand how ADM is currently being used. The Henderson Foundation has provided a grant in the amount of \$20,155 to support this effort. They sent confirmation of the award in mid-October. The researcher began work about that same time. He is to complete his report and present it to the legislative committee around December 1. No money has been paid to him, but funds have been committed to him.

Given the very tight timeframes of this entire process—approval of the funds by Henderson and the due date for the document, this request is being made somewhat out of order. I apologize for the retroactive nature of this request. The alternative funding mechanism for this proposal would be split dollars between DCF and the Department of Education. This does not seem to be desirable.

  
\_\_\_\_\_  
Stephen R. Dale, Commissioner

11/6/06  
Date

Approved for submission  
S. M. Gold  
Acting Sec. AHS  
11/9/06

REC'D NOV 14 2006

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**ACT OF THE GENERAL ASSEMBLY****2005-2006**

## NO. 186. AN ACT RELATING TO EARLY CHILDHOOD EDUCATION.

(S.314)

It is hereby enacted by the General Assembly of the State of Vermont:

## Sec. 1. PREKINDERGARTEN EDUCATION STUDY COMMITTEE

(a) There is created a prekindergarten education study committee to be made up of three senators not all from the same political party chosen by the committee on committees, three representatives not all from the same political party chosen by the speaker, the commissioner of education, the commissioner of the department for children and families, and one representative of the business community appointed by the governor. The committee may meet up to six times, and in addition shall conduct one information gathering meeting prior to January 15, 2007. The committee shall conduct an additional final meeting prior to January 30, 2007 to share findings and answer questions. The committee shall receive per diem and expenses pursuant to 2 V.S.A. § 406 and 32 V.S.A. § 1010, and shall receive staff services from the legislative council, the joint fiscal office, the department of education, and the agency of human services.

(b) The committee shall, at a minimum, gather the following information:

(1) How many private and public or publicly funded prekindergarten education services currently exist in Vermont.

(2) What kinds of services and educational programs are offered by existing prekindergarten education programs.

(3) The costs of existing prekindergarten education programs and how they are funded.

(4) Current department of education and agency of human services standards for prekindergarten education facilities.

(c) The committee shall, at a minimum, study and make findings regarding:

(1) What the research says about the effects of prekindergarten education.

(2) Whether prekindergarten education services should be offered at public expense and, if so:

(A) whether services should be provided by public schools, private providers, or both;

(B) the estimated costs of providing public prekindergarten programs and what public monies should be used to support them;

(C) what would be the mechanism for dispersing these monies; and

(D) what state agency or agencies should have responsibility for developing standards regarding the quality and content of prekindergarten education programs and for determining educator qualifications, and whether standards for public schools should differ from those for private providers.

(3) Which groups of children benefit academically and socially from receiving prekindergarten educational services.

(4) Whether all groups of prekindergarten children benefit from an inclusionary educational environment.

(5) Whether enrollment in a prekindergarten education program should be voluntary.

(6) Whether participation may take place outside the district of residence.

(7) Whether a community should conduct a needs assessment before starting or expanding a program, and if so, how private providers and school districts should be involved in the assessment.

(8) Whether publicly funded early education services are an effective economic development strategy.

(d) On or before January 30, 2007, the committee shall present the information it has gathered, its findings, and its recommendations to the senate and house committees on education, the senate committee on health and welfare, and the house committee on human services.

## Sec. 2. INTERIM PROVISIONS

(a) In order to enable the legislative prekindergarten education study committee to accomplish its work and give the general assembly the time to consider and respond to the recommendations of the committee, the state board of education shall not change, repeal, or adopt any rules regarding provision of early childhood or prekindergarten education services prior to June 30, 2008.

(b) During the 2007–2008 school year, a school district which begins a new program of prekindergarten education shall contract with qualified early childhood education service providers in the school district unless it determines that it cannot efficiently and effectively provide quality services

using these providers, or that no qualified programs exist in the district or no private programs are interested in providing the services in collaboration with the school district. In determining efficiency and effectiveness, school districts shall emphasize affordability, access, and high quality in early learning experiences. The commissioner of education shall determine whether a school district has met the requirements of this subsection, and a decision of the commissioner shall be final.

Sec. 3. EFFECTIVE DATE

This act shall take effect July 1, 2006.

Approved: Became law without the Governor's signature

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Published by:

**The Vermont General Assembly  
115 State Street  
Montpelier, Vermont**



[www.leg.state.vt.us](http://www.leg.state.vt.us)

August 21, 2006

Karen Pfeiffer  
A.D.Henderson Foundation  
P.O. Box 14096  
Fort Lauderdale, FL 33302-4096

Dear Ms. Pfeiffer:

The Department for Children and Families, in conjunction with the Vermont Department of Education, is requesting a funding grant for one year in the amount of \$20,155 to support the analysis of how Vermont is currently utilizing funding from the Education Fund to support publicly funded pre-kindergarten programs and the impact such funding is having on program quality and access to services for pre-school age children. This research is being done under the auspices of the Act 186 Legislative Committee that has been charged with studying the early childhood system in Vermont and making specific recommendation to the 2007 Legislature on what types of pre-kindergarten services should be publicly funded, with what state resources and for what group or groups of children. The proposed research will provide the Act 186 committee, as well as the Departments of Education and Children and Families, with an in depth understanding of how public education or ADM funds are currently being utilized in early childhood programs and its impact. This information is not currently documented and is necessary in order for the Committee to make informed recommendations.

### **Background**

Vermont has a long history of developing and supporting strong early childhood services in Vermont and often receives national recognition for the overall strength of our early childhood system. To date, two state agencies, the Department of Education(DOE) and the Department for Children and Families(DCF), have had primary responsibility for ensuring an early childhood system of services in Vermont. The DOE has oversight responsibilities for early education services for 3 and 4 year old children who are considered at risk for or who have developmental delays through the Early Education Initiative (EEI) and the Essential Early Education (EEE) programs.

The DCF oversees all the rest of the early childhood developmental programs which include the regulated child care system which extends to all group care including pre-kindergarten programs operated by public schools, the child care subsidy program, the Parent Child Centers, Success by Six and early intervention services including the Healthy Babies, Kids and Families, Children's Upstream Services (early childhood mental health) and the Family Infant and Toddler programs. One of DCF's primary goals is to increase the number of high quality early childhood programs throughout Vermont in order to ensure access to services which meet the developmental needs of young children while also supporting the needs of the family.

The early childhood services in Vermont have evolved as a patchwork of services that are not really linked together as a system. This has resulted in significant differences in the array and quality of services available to children and families around the state. Funding from the DOE and DCF is currently being brought together by some programs at the community level in order to improve access and establish holistic services for children. Understanding how these services are currently funded, what models are working well and sharing this information with the Act 186 committee is one role the DOE and DCF will have as members of the ACT 186 committee. The Commissioners of DOE and DCF will also be active participants in the recommendations of the committee as they are the agencies who will have the responsibility for implementing any early childhood legislation enacted by the Legislature.

### **The Need**

Early education is a topic that has and is continuing to receive much attention nationally and in Vermont as states explore options for enhancing early childhood opportunities in order to support school readiness and to ensure sustained school success. Vermont has actively been involved in these discussions at the community and state levels for the past six years. Formal legislation related to the role of public education funding in the early childhood system was considered during the 2003-04 and 2005-06 legislative sessions. For a variety of reasons, including debate over which children are most likely to benefit from pre-kindergarten services, concerns about how to finance services and what the long term impact on property taxes will be if the current structure for accessing ADM funding remains in place and expands, and how to ensure the private early childhood sector are able to participate in an early childhood system which utilizes public education funding, comprehensive early childhood legislation which would define the use of public education funding was not passed

Act 186, passed by the Vermont Legislature in May of 2006, establishes a study committee to explore pre-kindergarten education in Vermont, specifically to address what services already exist in Vermont, what they cost and how they are currently funded, what groups of children benefit socially and academically from pre-kindergarten services, what model or models of services are most beneficial and what funding mechanisms should be established. The pre-kindergarten study committee is comprised of six legislators, three from the House and three from the Senate, the Commissioner of Education and the Commissioner for the Department of Children and Families and a Governor appointed representative from the business community. The committee held it's first meeting on July 19, 2006. A review of how 6 programs in one supervisory union who currently use ADM funding demonstrated dramatic differences in how the funds were used, how contracts with private providers were developed and executed and the curriculum and teaching strategies utilized. Since there are currently no regulations which clearly define the requirements for utilization of the public education funds, there is wide leeway in how school districts implement these programs.

In order to fulfill their charge and adequately address the questions outlined in Act 186, the committee seeks utilize independent sources for some of the necessary research. This



includes bringing to the state nationally recognized consultants representing diverse positions on the benefits of early childhood education, conducting a new survey of all local school districts currently operating independently or with a community based provider a pre-kindergarten program and contracting with a Vermont researcher to conduct a targeted study of current pre-kindergarten education programs which will compare costs, funding mechanisms, and scope of the programs being offered, looking at both curriculum and staffing.

### **The Program**

We seek funding from the A.D. Henderson Foundation to help us fund portions of this effort, particularly bringing consultants into the state and funding the research study of specific programs. Two national consultants will be in Vermont in October to meet with the Committee and engage in a debate over efficacy of pre-kindergarten programs. The consultants are Stephen Barnett from the National Institute for Early Education Research (NIEER) and Lisa Snell of the Reason Foundation. The goal of this effort is to better inform the committee of the diverse perspectives on this topic, to have an open and frank discussion of the points or issues where there is not agreement and to begin to move toward areas where there are agreement to start to formulate potential recommendations. Part of this initial work will also include one of the two required public meetings which will be an opportunity for the committee to hear from the public their perspectives on the issue, which are also not uniform. The second public hearing will occur in January when the Committee presents its recommendations.

The Department of Education at the University of Vermont has been approached about conducting the research related to how public education funding is currently being used, costs associated with the programs and scope and quality of the curriculum, including staffing patterns. Because of the leeway in how these programs are currently being implemented, this information is critical and it is equally critical that it be done by a neutral party. Fifteen to twenty programs will be selected to be interviewed and observed. The researchers will develop the instrument and protocol for the data collection which will include a program and budget analysis. They will work with staff from the DOE and DCF to conduct the on sight observations and to analyze the data, develop the report and present the findings to the Committee. The timeline for completion of this work is mid - November in order for the Committee to have the findings and be able to integrate them into their recommendations.

### **Outcome**

The immediate outcome of this effort is to provide the committee the best available information about the issue of public school financing for early childhood education, and to provide the clearest information available on Vermont's current use of this funding mechanism. The long term outcome is to emerge from this work with recommendations for enhancing the opportunities for early childhood services for Vermont's young children that have bi-partisan support and are implemented in order to ensure our children

enter school ready to succeed and continue on a path of educational achievement through secondary school.

**Proposed Budget:**

Activity

1. National consultants on –site work  
\$1100 for airfare  
\$500 for lodging (2 nights)  
\$540 per diem for food, car rental and misc.( 2days)  
Total: \$2,140
  
2. Public hearings/meetings over VIT  
( 2 meetings/16 sites)  
Total: \$1,740
  
3. UVM Research  
Total: \$16,275 (25 days at \$650 a day)

Grand Total: \$20,155

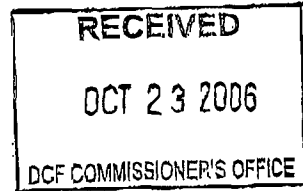
The timeline set by the Act 186 legislation creates an urgency for this funding request as the Committee must finish its work and submit their recommendations by January 30,2007. Thank you so much for your consideration.

Sincerely yours,

Stephen R. Dale, Commissioner

# The A. D. Henderson Foundation, Inc.

October 16, 2006



Mr. Stephen R. Dale, Commissioner  
State of Vermont / Commissioner's Office  
Department for Children and Families  
103 South Main Street, Osgood 3  
Waterbury, VT 05671-2401

Re: Grant Number 206084

Dear Mr. Dale:

I am pleased to inform you that the Executive Committee has approved your Letter of Inquiry in the amount of \$20,155 for your Analysis of Vermont's Early Education Funding System Project. The grant has been approved under the Small Grant Procedure.

Under our Foundation guidelines for Small Grant Procedure, you will not be required to complete the Formal Grant Application. In lieu, we have a modified procedure. You will be required to submit the following information:

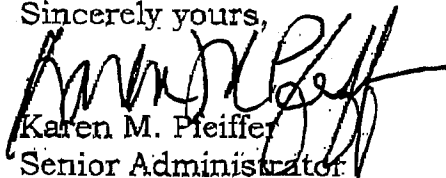
1. Small Grant Application - Complete and sign where required - **be specific as to the expected period for expenditure of this grant.**
2. Charter (or Articles of Incorporation) and By-Laws

Please return one copy of each of the above items via regular mail by October 30, 2006. No express or personal deliveries will be accepted.

Upon receipt and review of this information, I will forward the Grant Agreement to be signed and returned. Once the Grant Agreement has been signed by your organization, we will have a Trustee of the Foundation complete a tax and legal review of your file. **Your grant will not be effective until this review has been completed.**

We have assigned your request Grant Number 206084. Please reference this number when you contact us. If you have any questions, please call me.

Sincerely yours,



Karen M. Pfeiffer  
Senior Administrator

KMP/lm  
enc.

R:\WP FILES\VT DEPT OF CHILDREN & FAMILIES\Dale 10-16-06.doc

Post Office Box 14096 • Fort Lauderdale, Florida 33302-4096  
Fort Lauderdale (954) 764-2819 • Fax (954) 764-2878 • Vermont (802) 888-1188



# *The A.D. Henderson Foundation, Inc.*

In submitting this grant application, the Applicant certifies as follows:

1. The Applicant was recognized by the Internal Revenue Service by letter dated \_\_\_\_\_ (add date of most recent letter) as an organization described in Section 501(c)(3) of the Internal Revenue Code and in the following category (check appropriate box):

\_\_\_\_\_ Section 509(a)(1) and 170(b)(1)(A)(vi)

\_\_\_\_\_ Section 509(a)(1), other than Section 170(b)(1)(A)(vi)

\_\_\_\_\_ Section 509(a)(2)

\_\_\_\_\_ Section 509(a)(3)

\_\_\_\_\_ Section 509(a)(4)

2. A copy of the most recent letter referred to in paragraph 1 above addressed to the Applicant from the Internal Revenue Service has been previously furnished to the A.D. Henderson Foundation. In addition, the Applicant has not received from the Internal Revenue Service a revocation of, or change in, the determination or ruling contained in that letter.

3. To the best of the knowledge of the officers and directors or trustees of the Applicant, there has been no proposal, threat or suggestion by the Internal Revenue Service to the Applicant that the determination or ruling referred to in paragraph 1 above should be revoked or modified, and they know of no reason why that determination or ruling from the IRS might be revoked or modified.

4. The Applicant is a <sup>Governmental Organization</sup> (check correct description) nonprofit corporation \_\_\_\_\_, charitable trust \_\_\_\_\_, organized under the laws of (insert state) Vermont.

5. Copies of the Applicant's most recently filed IRS Form 990 return and its most recent annual financial statement (audited, if available) have been previously furnished to the A.D. Henderson Foundation. The listing of the Applicant's officers, directors, trustees or other managers contained in the Form 990 or financial statement is still correct. (If this is not accurate, please indicate a current listing in an attachment to this application.)

# The A. D. Henderson Foundation, Inc.

6. None of the requested funds will be used by the Applicant to support or oppose legislation, or otherwise engage in grass roots or direct lobbying activities, to conduct any voter registration drive or activities, or to support or oppose any candidate for elective public office. (If this is not accurate, please strike through this paragraph 6 and describe the details of any such anticipated expenditure in an attachment to this application.)

7. The Applicant does not discriminate in conducting its affairs against any person on account of race, color, national origin, sex, religion or age.

8. The Applicant's governing body has authorized the undersigned officer to submit this Application and Certification.

9. The Applicant commits to the Foundation that it will advise the Foundation of any change in the certifications contained in any of paragraphs 1 through 8 above which occur while this grant application is pending.

Name of Applicant Organization:

Name and Title of officer providing certification (type or print):

Agency of Human Services  
~~Department for Children & Families~~

Stephen R. Dale, Commissioner

Address:

Signature of Officer:

DEPARTMENT FOR CHILDREN & FAMILIES  
103 SOUTH MAIN ST

Stephen R. Dale

WATERBURY, VT 05671

Date: 11/6/06

Telephone No.: (802) 241-4665

# Transmission Report

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Form AA-1	Page 2						
<b>11. Will grant monies be spent by one or more personal service contracts?</b> <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding. X							
<b>12a. Please list any requested Limited Service positions:</b> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <th style="width: 70%; font-size: x-small;">Titles</th> <th style="width: 30%; font-size: x-small;">Number of Positions</th> </tr> <tr> <td style="height: 40px;"> </td> <td> </td> </tr> <tr> <td style="text-align: right; font-size: x-small;">TOTAL Positions</td> <td style="text-align: center;">0</td> </tr> </table>		Titles	Number of Positions			TOTAL Positions	0
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TOTAL Positions	0						
<b>12b. Equipment and space for these positions:</b> <input type="checkbox"/> is presently available. <input type="checkbox"/> Can be obtained with available funds.    N/A							
<b>13. Signature of Appointing Authority</b> I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant. * See attached explanation							
(Signature)	 _____ (Date) 11/6/06						
(Title)	Commissioner _____						
<b>14. Action by Governor:</b> <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Rejected							
(Signature)	 _____ (Date) 11/20/06						
<b>15. Secretary of Administration:</b> <input type="checkbox"/> Request to JFO <input type="checkbox"/> Information to JFO							
(Signature)	 _____ (Date) 11/17/06						
<b>16. Action by Joint Fiscal Committee:</b> (Date) _____							
<input type="checkbox"/> Request to be placed on JFC agenda <input type="checkbox"/> Approved (not placed on agenda in 30 days) <input type="checkbox"/> Approved by JFC <input type="checkbox"/> Rejected by JFC <input type="checkbox"/> Approved by Legislature							
(Signature)	(Date)						

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11. Will grant monies be spent by one or more personal service contracts?

YES  NO

If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

X

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
<b>TOTAL Positions</b>	0

12b. Equipment and space for these positions:

Is presently available.  
 Can be obtained with available funds.

N/A

13. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.

\* See attached explanation

[Signature] 11/6/06  
(Signature) (Date)

Commissioner  
(Title)

14. Action by Governor:

Approved  
 Rejected

[Signature] 11/20/06  
(Signature) (Date)

15. Secretary of Administration:

Request to JFO  
 Information to JFO

[Signature] 11/17/06  
(Signature) (Date)

16. Action by Joint Fiscal Committee:

(Dates)

Request to be placed on JFC agenda  
 Approved (not placed on agenda in 30 days)  
 Approved by JFC  
 Rejected by JFC  
 Approved by Legislature

\_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Signature) (Date)



11. Will grant monies be spent by one or more personal service contracts?

YES  NO

If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

X [Signature]

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
TOTAL Positions	0

12b. Equipment and space for these positions:

- Is presently available.
- Can be obtained with available funds.

N/A

13. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.

\* See attached explanation

[Signature] 11/6/06 (Date)  
 Commissioner (Title)

14. Action by Governor:

- Approved
- Rejected

[Signature] 11/20/06 (Date)

15. Secretary of Administration:

- Request to JFO
- Information to JFO

[Signature] 11/17/06 (Date)

16. Action by Joint Fiscal Committee:

(Dates)

- Request to be placed on JFC agenda
- Approved (not placed on agenda in 30 days)
- Approved by JFC
- Rejected by JFC
- Approved by Legislature

\_\_\_\_\_  
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\_\_\_\_\_  
 (Signature) (Date)

TRANSMISSION VERIFICATION REPORT

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